



16179 U.S. PTO

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 038470/269755

First Inventor Gregory P. Nordin et al.

Title WAVEGUIDE INCLUDING AT LEAST ONE PHOTONIC
CRYSTAL REGION FOR DIRECTING SIGNALS
PROPAGATING THERETHROUGH

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ADDRESS TO: MAIL STOP PATENT APPLICATION
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Transmitted herewith for filing in the United States Patent Office is a patent application for:

Inventors: Gregory P. Nordin, Seunghyun Kim, Jingbo Cai, Jianhua Jiang

Assignee of this invention is University of Alabama in Huntsville, Huntsville, Alabama

1. ☒ The Filing Fee has been calculated as shown below:
2. ☐ Applicant claims Small Entity Status. See 37 CFR 1.27.

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10/715966

No. Filed		No. Extra	Small Entity Rate	Fee 0	Large Entity Rate	Fee 1
BASIC FEE			\$ 0		\$ 770	
TOTAL CLAIMS:		34 - 20 = 14	X 9 = \$ 0		x 18 = \$ 252	
INDEP CLAIMS:		3 - 3 = 0	X 43 = \$ 0		x 86 = \$ 0	
[<input type="checkbox"/>] MULTIPLE DEPENDENT CLAIMS PRESENTED			+145 = \$		+290 = \$	
*If the difference in Column 1 is less than zero, enter "0" in Column 2.			TOTAL	\$	TOTAL	\$ 1022

The Commissioner is hereby authorized to credit overpayments or charge the following fees to Deposit
Acct. No. 16-0605.

- a. ☒ Fees required under 37 CFR 1.16 (National filing fees).
b. ☒ Fees required under 37 CFR 1.17 (National application processing fees) including any
extension of time fees under 37 CFR § 1.136(a) that are required for consideration of
papers filed during prosecution.
- ☒ A check in the amount of \$ 1,022.00 for the filing fee is enclosed.
- ☐ The above filing fee will be paid along with Applicant(s) Response to the Notice to File Missing
Parts.
3. ☒ Specification; Total Pages 38
4. ☒ 22 Sheets of Drawing(s) (35 USC 113)
5. ☒ Declaration and Power of Attorney; [Total Pages 2]
a. ☒ Newly executed (original or copy)
b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)
i. ☐ DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR 1.63(d)(2) & 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76
7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Copy (CRF)
 - b. ☐ Request for Transfer of Computer Readable Form of Sequence Listing under 37 CFR § 1.821(e) and MPEP 2422.05 (must be compliant with new rules)
 - c. ☐ Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ Paper (___ Pages)
 - d. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

- 9. ☒ Assignment Papers (cover sheet & document(s) (including a check for the \$40.00 fee)
- 10. ☐ 37 CFR 3.73(b) Statement (*when there is an assignee*); ☐ Power of Attorney
- 11. ☐ English Translation Document (*if applicable*)
- 12. ☐ Information Disclosure Statement (IDS)/PTO-1449; ___ Copies of IDS Citations
- 13. ☐ Preliminary Amendment
- 14. ☒ Return Receipt Postcard (MPEP 503) (*Should be specifically itemized*)
- 15. ☐ Certified Copy of Priority Document(s) (*if foreign priority is claimed*)
☐ Foreign Priority is claimed as Application No. , filed
- 16. ☐ Nonpublication Request under 35 U.S.C. 122(b)(2)(B)(i).
 Applicant **must** attach form PTO/SB35 or its equivalent.
- 17. ☐ Request for Early Publication Under 37 CFR § 1.219. Fee of \$300.00 is enclosed.
- 18. **If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:**
☐ Continuation ☐ Divisional ☐ Continuation in Part (CIP)
 of prior Application No: ___; Filed


Prior Application Information: Examiner

Group/Art Unit:

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. **CORRESPONDENCE ADDRESS**

CUSTOMER NUMBER 00826

Signature: 

Attorney/Agent of Record: Andrew T. Spence

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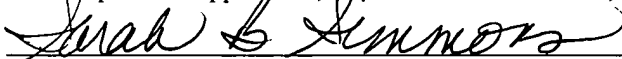
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Date of Deposit November 18, 2003

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to:

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Sarah B. Simmons

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